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November 19, 2001

TELECOPIER TRANSMITTAL SHEET

TELECOPY TO: Technology Center 2800

FAX NUMBER: 703-872-9318

FROM: Jerry King for John P. O'Banion

RE: 09/813,446

MESSAGE: In view of recent news release, please find enclosed a copy of:

- 1) Return card;
- 2) Transmittal of IDS (Page 1 & 2);
- 3) Statement under 1.97 (e) (Page 1) and;
- 4) PTO-1449 (Page 1).

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☒ Original was mailed via first class mail on October 22, 2001.
☐ Original will follow by:

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NUMBER OF PAGES SENT (INCLUDING COVER SHEET): 7

IF THERE ARE ANY PROBLEMS OR QUESTIONS, PLEASE CONTACT US AT (916) 498-1010. OUR FAX NO. IS (916) 498-1074.

DOCUMENT14

The United States Patent and Trademark Office mail room stamp hereon acknowledges receipt of the following items:

For: MULTI-WAVELENGTH CROSS-CONNECT OPTICAL SWITCH
In the names of OLAV SOLGAARD; JONATHAN P. HERITAGE; AMAL R. BHATTARAI
Serial No. 08/813,446

1. Transmittal of Information Disclosure Statement Under 37 CFR 1.97 (d) (Page 1 & 2);
2. Statement Under 37 CFR 1.97 (e) Accompanying Information Disclosure Statement (Page 1);
3. Information Disclosure Citation (Page 1) and;
4. Citations (2).

Date Mailed: 11/14/01
Attorney: John P. O'Banion
Docket No.: UC97-166-7

THE UNITED STATES PATENT AND TRADEMARK OFFICE



John P. O'Banion
O'BANION & RITCHEY LLP
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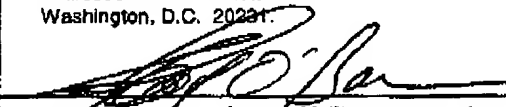

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TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT (Under 37 CFR 1.97(b) or 1.97(c))			Docket No. UC97-156-7
In Re Application Of: SOLGAARD, O.; HERITAGE, J.; BHATTARI, A.			
Serial No. 09/813,446	Filing Date MARCH 20, 2001	Examiner	Group Art Unit
Title: MULTI-WAVELENGTH CROSS-CONNECT OPTICAL SWITCH			
Address to: Assistant Commissioner for Patents Washington, D.C. 20231			
37 CFR 1.97(b)			
1. <input type="checkbox"/> The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application other than a continued prosecution application under 37 CFR 1.53(d); within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; before the mailing of a first Office Action on the merits, or before the mailing of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114.			
37 CFR 1.97(c)			
2. <input checked="" type="checkbox"/> The Information Disclosure Statement submitted herewith is being filed after the period specified in 37 CFR 1.97(b), provided that the Information Disclosure Statement is filed before the mailing date of a Final Action under 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an Action that otherwise closes prosecution in the application, and is accompanied by one of:			
<input checked="" type="checkbox"/> the statement specified in 37 CFR 1.97(e);			
OR			
<input type="checkbox"/> the fee set forth in 37 CFR 1.17(p).			

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TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT (Under 37 CFR 1.97(b) or 1.97(c))			Docket No. UC97-156-7
In Re Application: SOLGAARD, O.; HERITAGE, J.; BHATTARI, A.			
Serial No. 09/813,446	Filing Date MARCH 20, 2001	Examiner	Group Art Unit
MULTI-WAVELENGTH CROSS-CONNECT OPTICAL SWITCH			
Payment of Fee (Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))			
<input type="checkbox"/> A check in the amount of _____ is attached.			
<input type="checkbox"/> The Assistant Commissioner is hereby authorized to charge and credit Deposit Account No. _____ as described below. A duplicate copy of this sheet is enclosed.			
<input type="checkbox"/> Charge the amount of _____			
<input type="checkbox"/> Credit any overpayment.			
<input type="checkbox"/> Charge any additional fee required.			
Certificate of Transmission by Facsimile*		Certificate of Mailing by First Class Mail	
<div style="border: 1px solid black; padding: 5px;">I certify that this document and authorization to charge deposit account is being facsimile transmitted to the United States Patent and Trademark Office (F) _____ (Date) _____ Signature _____ Typed or Printed Name of Person Signing Certificate</div>		<div style="border: 1px solid black; padding: 5px;">I certify that this document and fee is being deposited with the U.S. Postal Service as first class mail under 37 C.F.R. 1.8 and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.  _____ Signature of Person Mailing Correspondence JOHN P. O'BANION _____ Typed or Printed Name of Person Mailing Certificate</div>	
<p>*This certificate may only be used if paying by deposit account.</p> <div style="display: flex; justify-content: space-between;"><div style="width: 45%;"> _____ Signature JOHN P. O'BANION, REG. NO. 33,201 O'BANION & RITCHEY LLP 400 CAPITOL MALL, SUITE 1550 SACRAMENTO, CA 95814 (916) 498-1010</div><div style="width: 45%; text-align: right;">Dated: 11/19/01</div></div>			
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CC:			

**STATEMENT UNDER 37 CFR 1.97(e) ACCOMPANYING
INFORMATION DISCLOSURE STATEMENT**Docket No.
UC97-156-7

In Re Application Of: SOLGAARD, O.; HERITAGE, J.; BHATTAR, A.

Serial No.
09/813,446Filing Date
MARCH 20, 2001

Examiner

Group Art Unit

Invention: MULTI-WAVELENGTH CROSS-CONNECT OPTICAL SWITCH

TO THE ASSISTANT COMMISSIONER FOR PATENTS:

This is a statement under the provisions of 37 CFR 1.97(e) in the above-identified application.

Check applicable statement herebelow:

Statement Under 37 CFR 1.97(e)(1)

- ☐ Each item of information contained in the accompanying Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the Information Disclosure Statement.

Statement Under 37 CFR 1.97(e)(2)

- ☒ No item of information contained in the accompanying Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned person, after making reasonable inquiry, no item of information contained in the accompanying Information Disclosure Statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the Information Disclosure Statement.

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Dated: 11/14/01

Signature

JOHN P. O'BANION, REG. NO. 33,201
O'BANION & RITCHEY LLP
400 CAPITOL MALL, SUITE 1550
SACRAMENTO, CA 95814
(916) 498-1010

Certificate of Mailing by First Class Mail

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Signature of Person Mailing Correspondence

John P. O'Banion

Typed or Printed Name of Person Mailing Correspondence

cc:

P10C/REV02

CERTIFICATE OF MAILING BY FIRST CLASS MAIL (37 CFR 1.8)			Docket No. UC97-156-7
Applicant(s): SOLGAARD, O.; HERITAGE, J.; BHATTARI, A.			
Serial No. 09/813,446	Filing Date MARCH 20, 2001	Examiner	Group Art Unit
Invention: MULTI-WAVELENGTH CROSS-CONNECT OPTICAL SWITCH			
<p>I hereby certify that this <u>Information Disclosure Statement (Page 1)</u> (Identify type of correspondence)</p> <p>is being deposited with the United States Postal Service as first class mail in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231 on <u>11/19/01</u> (Date)</p> <p><u>JOHN P. O'BANION</u> (Typed or Printed Name of Person Mailing Correspondence)</p> <p><u>[Signature]</u> (Signature of Person Mailing Correspondence)</p>			
Note: Each paper must have its own certificate of mailing.			

P07/REV03